

# Memorandum

**DATE:** July 18, 2008

**TO:** All Workers' Compensation System Users

**FROM:** Keven Star, Court Administrator

**SUBJECT: Preparation of Paper Files for Submission in the Electronic Adjudication Management System (EAMS)**

This will advise all workers' compensation system users about how to prepare documents for submission into EAMS at the various DWC district offices. Because EAMS is being implemented in phases, the preparation of documents for submission will evolve along that timeline.

There are only two ways to get documents into EAMS: through a Web-based format called e-forms or through the use of new paper forms that are scanned into the system. Using e-forms requires a log-on and password and follows a different path than the use of new paper forms. For more information regarding e-forms, and to review a forms submission demonstration, please visit the EAMS Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams).

This memo will focus on submitting documents using new paper forms.

"Legacy" refers to DWC/WCAB cases in existence before Aug. 25, 2008. "Production" refers to DWC/WCAB cases first filed on or after Aug. 25, 2008.

**Between now and Aug. 25, 2008 go-live:**

Documents submitted must be prepared for scanning into EAMS. This process is called "legacy scanning" and includes interim, internal-use **batch** header sheets and **patch** code separator sheets.

During this timeframe, all documents should be submitted:

1. Free from staples, sticky notes and hole punches (the holes show up as black spots on the scanner and the back of the page is then scanned – something users want to avoid because they will eventually retrieve and review the documents)
2. In as much as is possible, without folds, wrinkles or tears
3. As first generation forms only (not copies of copies); and
4. In a legible format.

DWC district office staff will prep designated "legacy" files with batch header sheets and patch code separator sheets for scanning into EAMS in the "legacy scanning" process.

After the EAMS regulations become effective (likely in October 2008), all parties **must** begin using the new EAMS forms, which will include cover sheets and document separator sheets, for all aspects of their workers' compensation practice, including DORs, applications, C&Rs, etc.

DWC is encouraging all parties to begin using these new forms when EAMS goes live on Aug. 25, 2008.

**Between Aug. 25 go-live through finalization of new regulations, and until user identifications, log-ons and passwords are distributed to practitioners and EAMS end users:**

Unless users have entered into agreement with DWC to file all documents in EAMS using e-forms, documents submitted must be prepared for scanning into EAMS. This process is called "production scanning" and includes the use of cover sheets and document separator sheets.

During this timeframe, parties are asked to use the optical character recognition (OCR) forms that will be available for download from the DWC Web site. An OCR form is a specially developed form that is read by EAMS in the scanning process to populate an EAMS case file. To use OCR forms, users will:

1. Fill out the OCR form on their own computer
2. Print the form
3. Hand-deliver or mail the filled and printed form along with corresponding paper documents to the district office for processing and scanning into EAMS
4. Scanning will be done by DWC district office staff.

All documents should be submitted with appropriate cover sheets and document separator sheets. All documents, except the medical reports of treating physicians, qualified or agreed medical evaluations, and exhibits, should:

1. Be single-sided
2. Be in black ink on white paper
3. Use serif font (font with feet, like Times New Roman or Courier)
4. Be on 8 ½" x 11" paper
5. Be on 12-pound (or heavier) weight paper (most typical paper for copy machines is #20)
6. Not have text in the margins
7. Have the EAMS case number or legacy case number in the first page caption
8. Have the attorney's information above the caption for legal pleadings
9. Not exceed 25 pages (unless prior permission from WCALJ was obtained)
10. Be double-spaced except for captions, quotes, etc.
11. Be free from staples, sticky notes and hole punches
12. Be without folds, wrinkles or tears
13. Be first generation forms only (not copies of copies)
14. Be legible

**Note:** In as much as is possible, medical reports should also comply with the above (except the 25-page rule) to facilitate the scanning process.

Constructing a file to be scanned into EAMS:

- An EAMS cover sheet will be the first page of any document or set of documents filed at one time in the same case. Information captured from the cover sheet is used to populate an EAMS case file
- If a document comes with several attachments, an EAMS document separator sheet must be placed on top of each attachment. The document separator sheet is used to index the documents within the case file

- ➔ Material appended to a medical report that is intended to support the opinions or conclusions expressed in the report is not considered a separate document
- ➔ In addition, the billing statement appended to a lien is considered a part of the lien
- Each exhibit admitted into the record at trial is considered one document.

For instance, if a party files a DOR with a report from Dr. Smith, the file would be constructed as follows:

1. An EAMS cover sheet and document separator sheet are placed on top of the DOR. Remember, the cover sheet is used to populate the EAMS case file and the document separator sheet tells EAMS where to put the document that follows it. Therefore, a cover sheet **and** a document separator sheet are needed before the DOR
2. Another document separator sheet is used between the DOR and Dr. Smith's medical report.

It may help to think of the cover sheet and document separator sheets in this way: The cover sheet tells EAMS what kind of case file to open or if it should connect the incoming data to an existing file. The document separator sheet is an opening page that contains the descriptive information (meta-data) for the document, which tells EAMS where in the case file to place that document and how it is "labeled."

Once final drafts are prepared, EAMS cover sheets and separator sheets will be available on the DWC Web site with the other OCR forms, and will be available at all DWC district offices.

Once the EAMS regulations become effective, all parties must begin filing their documents with the properly completed EAMS cover sheets and EAMS document separator sheets. (Unrepresented employees, unrepresented dependents and unrepresented uninsured employers who do not have ready access to these forms may be exempted from this requirement. However, they may seek the assistance of an Information & Assistance officer to comply with this requirement).

**Note:** Hand printed documents may be allowed for unrepresented parties, but keep in mind that legibility is vital for the scanners to read the documents correctly.

**Note:** Software companies are currently working with DWC to develop OCR forms that are compatible with EAMS (meaning they can be read by DWC's scanners) and with case management software currently used by external parties (law firms, TPAs, carriers, etc) to auto-populate forms. If a party uses this kind of auto-populate software as part of its case-management tools, they should ensure their forms developer is working with DWC to test the forms for use in EAMS.

**Note:** Bar codes on documents submitted to EAMS do NOT constitute a problem and will not interfere with scanning **unless** they are placed on DWC OCR forms in the same location as the DWC bar code. If a form or document is submitted with a bar code that is placed in another location, such as along the side of the document, that bar code will not be a problem.

**Note:** Between Aug. 25 go-live and when the new regulations for EAMS become effective, parties may still use their old forms. However, if parties use old forms, the district office staff will have to manually input the data from the old form into an EAMS form, which could create a backlog in the district offices.

The proposed EAMS regulations can be found at [www.dwc.ca.gov](http://www.dwc.ca.gov). Click on the link in the left navigation pane that says "I want to participate in DWC rulemaking."

Once EAMS has been up and running for a period of time, DWC will start generally issuing log-ons and passwords to external users, who can then file using e-forms. DWC will issue instructions on this process separately.

The DWC EAMS Web site at [www.dwc.ca.gov/eams](http://www.dwc.ca.gov/eams) contains a wealth of information about EAMS, along with a forms submission demo.